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Application Number	10064745
Filing Date	
First Named Inventor	
Art Unit	
Examiner Name	
Attorney Docket Number	MLCO.P-002

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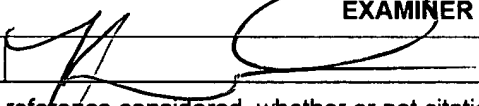
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KA	2	Weinstein, J., Convertibles are Breaking Records, Global Finance. New York: Apr. 2001. Vol. 15, Iss. 4; pg. 50, 2pgs	<input type="checkbox"/>

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Application number 10/476,705

Attorney docket number MLCO.P002NP

REQUEST FOR CONSIDERATION OF INFORMATION DISCLOSURE STATEMENTS

The undersigned received an Office Action dated April 20, 2006.

Five Information Disclosure Statements were filed for which corresponding initialed and signed Forms 1449 were not found in the Office Action. These are:

<i>Date filed</i>	<i>Dated listed in IFW</i>	<i>First listed reference</i>
December 15, 2003	December 15, 2003	Lange US 6321212
January 9, 2004	January 9, 2004	Birle US 20040006520
August 22, 2005	August 22, 2005	Williams WO 2004/081748
March 12, 2006	March 12, 2006	Merrill Lynch Prospectus 2001
March 22, 2006	March 22, 2006	Rudnick WO 03/023554

The undersigned had carefully checked IFW some weeks ago and had confirmed that in fact each of these Information Disclosure Statements was in IFW at the time the Office Action was dated.

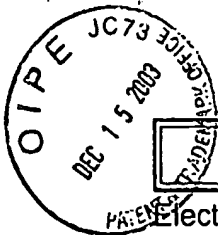
The undersigned has checked the Image File Wrapper system and is likewise unable to find the corresponding initialed and signed Forms 1449 in IFW.

It is requested that the five initialed and signed Forms 1449 be faxed immediately to the undersigned, and that they be immediately be made of record in the official file of the USPTO. It is very important to the undersigned that there be a clear record that the references in these five Information Disclosure Statements were already considered by the Examiner and that any grounds for rejection relating thereto will have already been presented by the Examiner.

Respectfully submitted,


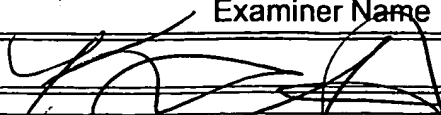
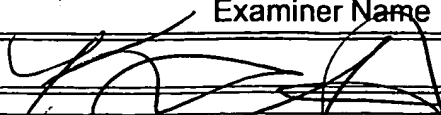
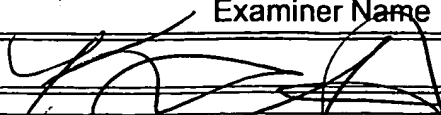
/s/

Carl Oppedahl
PTO Reg. No. 32746



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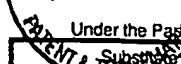
Title of Invention	Convertible financial instruments with contingent payments																																																																										
<p>Application Number: 10/476705 </p> <p>Confirmation Number: 7214</p> <p>First Named Applicant: James Birle</p> <p>Attorney Docket Number: MLCO.P-002-USNP</p> <p>Search string: (6321212 or 20020099640 or 20020147670 or 20030009406 or 20030115128 or 20030163400).pn.</p> <p>US Patent Documents</p> <p>Note: Applicant is not required to submit a paper copy of cited US Patent Documents</p> <table border="1"><thead><tr><th>init</th><th>Cite.No.</th><th>Patent No.</th><th>Date</th><th>Patentee</th><th>Kind</th><th>Class</th><th>Subclass</th></tr></thead><tbody><tr><td><input checked="" type="checkbox"/></td><td>1</td><td>6321212</td><td>2001-11-20</td><td>Lange, Jeffrey</td><td></td><td></td><td></td></tr></tbody></table> <p>US Published Applications</p> <p>Note: Applicant is not required to submit a paper copy of cited US Published Applications</p> <table border="1"><thead><tr><th>init</th><th>Cite.No.</th><th>Pub. No.</th><th>Date</th><th>Applicant</th><th>Kind</th><th>Class</th><th>Subclass</th></tr></thead><tbody><tr><td><input checked="" type="checkbox"/></td><td>1</td><td>20020099640</td><td>2002-07-25</td><td>Lange, Jeffrey</td><td></td><td></td><td></td></tr><tr><td><input checked="" type="checkbox"/></td><td>2</td><td>20020147670</td><td>2002-10-10</td><td>Lange, Jeffrey</td><td></td><td></td><td></td></tr><tr><td><input checked="" type="checkbox"/></td><td>3</td><td>20030009406</td><td>2003-01-09</td><td>Ross, Ivan</td><td></td><td></td><td></td></tr><tr><td><input checked="" type="checkbox"/></td><td>4</td><td>20030115128</td><td>2003-06-19</td><td>Lange, et al.</td><td></td><td></td><td></td></tr><tr><td><input checked="" type="checkbox"/></td><td>5</td><td>20030163400</td><td>2003-08-28</td><td>Ross, et al.</td><td></td><td></td><td></td></tr></tbody></table> <p>Signature</p> <table border="1"><thead><tr><th>Examiner Name</th><th>Date</th></tr></thead><tbody><tr><td></td><td>9/24/04</td></tr></tbody></table>								init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass	<input checked="" type="checkbox"/>	1	6321212	2001-11-20	Lange, Jeffrey				init	Cite.No.	Pub. No.	Date	Applicant	Kind	Class	Subclass	<input checked="" type="checkbox"/>	1	20020099640	2002-07-25	Lange, Jeffrey				<input checked="" type="checkbox"/>	2	20020147670	2002-10-10	Lange, Jeffrey				<input checked="" type="checkbox"/>	3	20030009406	2003-01-09	Ross, Ivan				<input checked="" type="checkbox"/>	4	20030115128	2003-06-19	Lange, et al.				<input checked="" type="checkbox"/>	5	20030163400	2003-08-28	Ross, et al.				Examiner Name	Date		9/24/04
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Title of Invention	Convertible financial instruments with contingent payments																												
<p>Application Number: 10/476705 </p> <p>Confirmation Number: 7214</p> <p>First Named Applicant: James Birle</p> <p>Attorney Docket Number: MLCO.P-002-USNP</p> <p>Search string: (20040006520).pn.</p> <p>RECEIVED JAN 8 0 2004 GROUP 3600</p> <p>US Published Applications</p> <p>Note: Applicant is not required to submit a paper copy of cited US Published Applications</p> <table border="1"><thead><tr><th>init</th><th>Cite.No.</th><th>Pub. No.</th><th>Date</th><th>Applicant</th><th>Kind</th><th>Class</th><th>Subclass</th></tr></thead><tbody><tr><td></td><td>1</td><td>20040006520</td><td>2004-01-08</td><td>Birle, et al.</td><td></td><td></td><td></td></tr></tbody></table> <p>Signature</p> <table border="1"><tr><td></td><td>Examiner Name</td><td>Date</td></tr><tr><td></td><td></td><td>7/24/06</td></tr></table>								init	Cite.No.	Pub. No.	Date	Applicant	Kind	Class	Subclass		1	20040006520	2004-01-08	Birle, et al.					Examiner Name	Date			7/24/06
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7. Substrate for form 1449A/PTO

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Application Number	10/476,705
Filing Date	11/3/2003
First Named Inventor	Birle, Jr. et al.
Art Unit	3624
Examiner Name	Campen, Kelly
Attorney Docket Number	MLCO.P-002-USNP


Sheet	1	of	1
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Attorney Docket Number	MLCO-P-002-USNP
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		WO 2004/081748 A2	09-23-2004	Williams et al		
		WO 01/80051 A2	10-25-2001	Kubick et al		
		WO 02/074047 A2	09-26-2002	Lange		
		WO 02/42885 A2	05-30-2002	Andrus et al		
		WO03/013875	02-20-2003	Birle et al		
		WO03/014886A2	02-20-2203	Green et al		
		WO2004/104889A1	12-02-2004	Aberman et al		
		WO 2005/062224 A1	07-07-2005	Redmayne		

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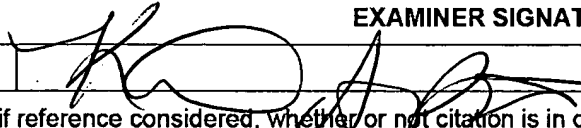
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